

2131 # 2  
BT

9.17-02



PATENT  
TUC920010021US1  
0018.0091

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                          |   |                            |
|--------------------------|---|----------------------------|
| In re Application of:    | ) | Examiner: Not yet assigned |
| G.A. Jaquette            | ) |                            |
| Serial No.: 09/977,161   | ) |                            |
| Filed: October 11, 2001  | ) | Art Unit: 2131             |
| For: METHOD, SYSTEM, AND | ) |                            |
| PROGRAM FOR ENCODING     | ) |                            |
| AND DECODING INPUT DATA  | ) |                            |
|                          | ) |                            |
|                          | ) |                            |

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SEP 12 2002

Technology Center 2100

Assistant Commissioner of Patents  
Washington, D.C. 20231

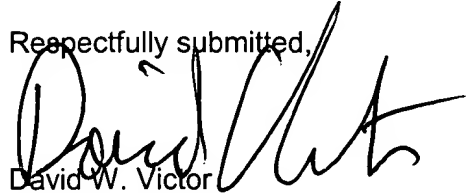
TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application. Applicants submit that no fee is needed nor should be charged with the submittal of this Information Disclosure Statement (IDS) because this IDS is being submitted under 1.97(b) in that the IDS is being filed before the mailing date of a first Office Action on the merits or within three months of the filing date of a national application other than a continued prosecution application under 1.53(d). Applicants submit that a first Office Action has not been received in the above referenced case.

Nonetheless, should any fee be deemed necessary, please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585. A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,



David W. Victor

Dated: September 6, 2002

Reg. No. 39,867

KONRAD RAYNES VICTOR & MANN, LLP

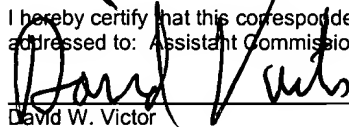
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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on September 6, 2002.



David W. Victor

9/6/02  
(Date)

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

(Use several sheets if necessary)

**Docket Number**  
TUC920010021US1

**Application Number**  
09/977,161

**Applicant**  
G.A. Jaquette

**Filing Date**  
October 11, 2001

**Group Art Unit**  
2131

**U.S. PATENT DOCUMENTS**

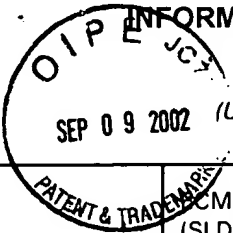
| EXAMINER<br>INITIAL | DOCUMENT NUMBER |    |   |   |   |   |   | DATE     | NAME                | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|-----------------|----|---|---|---|---|---|----------|---------------------|-------|----------|-------------------------------|
|                     | R               | e. | 3 | 6 | 1 | 8 | 1 | 04/06/99 | Koopman, Jr. et al. |       |          |                               |
|                     | 4               | 7  | 9 | 9 | 0 | 6 | 1 | 01/17/89 | Abraham et al.      |       |          |                               |
|                     | 5               | 2  | 8 | 5 | 4 | 9 | 7 | 02/08/94 | Thatcher, Jr.       |       |          |                               |
|                     | 5               | 3  | 1 | 9 | 7 | 1 | 0 | 06/07/94 | Atalla et al.       |       |          |                               |
|                     | 5               | 3  | 2 | 1 | 7 | 4 | 9 | 06/14/94 | Virga               |       |          |                               |
|                     | 5               | 3  | 9 | 8 | 2 | 8 | 3 | 03/14/95 | Virga               |       |          |                               |
|                     | 5               | 4  | 1 | 6 | 8 | 4 | 1 | 05/16/95 | Merrick             |       |          |                               |
|                     | 5               | 4  | 7 | 9 | 5 | 1 | 2 | 12/26/95 | Weiss               |       |          |                               |
|                     | 5               | 6  | 4 | 2 | 4 | 2 | 1 | 06/24/97 | Gray et al.         |       |          |                               |
|                     | 5               | 7  | 1 | 9 | 9 | 3 | 8 | 02/17/98 | Haas et al.         |       |          |                               |
|                     | 5               | 8  | 0 | 5 | 7 | 0 | 0 | 09/08/98 | Nardone et al.      |       |          |                               |
|                     | 5               | 8  | 0 | 9 | 1 | 4 | 5 | 09/15/98 | Slik et al.         |       |          |                               |
|                     | 5               | 9  | 1 | 5 | 0 | 2 | 1 | 06/22/99 | Herlin et al.       |       |          |                               |
|                     | 5               | 9  | 5 | 6 | 4 | 0 | 7 | 09/21/99 | Slavin              |       |          |                               |
|                     | 5               | 9  | 6 | 3 | 6 | 4 | 2 | 10/05/99 | Goldstein           |       |          |                               |
|                     | 5               | 9  | 7 | 4 | 1 | 4 | 4 | 10/26/99 | Brandman            |       |          |                               |
|                     | 5               | 9  | 9 | 1 | 4 | 0 | 3 | 11/23/99 | Aucsmith et al.     |       |          |                               |
|                     | 6               | 1  | 0 | 4 | 5 | 6 | 1 | 08/15/00 | Braithwaite et al.  |       |          |                               |
|                     | 6               | 2  | 1 | 8 | 9 | 7 | 0 | 04/17/01 | Jaquette            |       |          |                               |

**FOREIGN PATENT DOCUMENTS**

| DOCUMENT NUMBER |   |   |   |   |   |   |   | DATE     | COUNTRY | CLASS | SUBCLASS | Translation<br>YES NO |  |
|-----------------|---|---|---|---|---|---|---|----------|---------|-------|----------|-----------------------|--|
|                 | 8 | 2 | 4 | 8 | 9 | 5 |   | 06/23/99 | EP      |       |          | Abstract              |  |
|                 | 9 | 8 | 4 | 8 | 3 | 9 | 9 | 10/29/98 | PCT     |       |          | Abstract              |  |

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

|  |   |
|--|---|
|  | U.S. Application Serial No. 09//977,159, filed on October 11, 2001, entitled "Method System and Program for Securely Providing Keys to Encode and Decode Data in a Storage Cartridge", invented by G.A. Jaquette. |
|  | IBM, Corp., "A Fast Hardware Data Compression Algorithm and Some Algorithmic Extensions", Journal of Research and Development, Vol. 42, No. 6, 1998, pp. 1-13.  |
|  | Lewis, Harry A. and Larry Denenberg. "Lempel-Ziv Encoding." in: <i>Data Structures &amp; Their Algorithms</i> . Harper Collins Publishers, 1991.  |
|  | Quarter-Inch Cartridge Drive Standards, Inc., "Adaptive Lossless Data Compression (ALDC)", QIC-154, Revision A, 10 Mar 94.  |

|   |  |                                  |                                  |
|---|--|----------------------------------|----------------------------------|
| FORM PTO-1449   |  | Docket Number<br>TUC920010021US1 | Application Number<br>09/977,161 |
| <b>INFORMATION DISCLOSURE CITATION<br/>IN AN APPLICATION</b><br>  |  | Applicant<br>G.A. Jaquette       |                                  |
|   |  | Filing Date<br>October 11, 2001  | Group Art Unit<br>2131           |
| Microsoft Corp., "Streaming Lossless Data Compression Algorithm - (SLDC), Second Draft, Dec 2000.   |  |                                  |                                  |
| Microsoft Corp., "Encrypting File System for Windows 2000." Copyright 1998 Microsoft Corporation.   |  |                                  |                                  |
| <div style="text-align: right;"> <b>RECEIVED</b><br/>         SEP 12 2002<br/>         Technology Center 2100       </div>  |  |                                  |                                  |
|   |  |                                  |                                  |
|   |  |                                  |                                  |
|   |  |                                  |                                  |
| EXAMINER  |  | DATE CONSIDERED                  |                                  |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant. |  |                                  |                                  |